



EXPRESS MAIL LABEL NO. EF373403661US

# 71

PATENTS  
01783/102

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventors: Sherie L. Morrison;  
Leonard A. Herzenberg; and  
Vernon T. Oi

Patent Owners /Assignees: The Trustees of Columbia University in the City of New York and  
The Board of Trustees of the Leland Stanford Junior University

Patent No.: 5,807,715

Issued: September 15, 1998

Application No.: 08/266,154

Filed: June 27, 1994

For: METHODS AND TRANSFORMED MAMMALIAN LYMPHOCYTIC  
CELLS FOR PRODUCING FUNCTIONAL ANTIGEN-BINDING  
PROTEIN INCLUDING CHIMERIC IMMUNOGLOBULIN AND  
FRAGMENTS

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Mail Stop PETITION  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

New York, NY  
November 14, 2003

NOV 20 2003

OFFICE OF PETITIONS

**PETITION UNDER 37 C.F.R. § 1.183 TO WAIVE THE RULES AND ACCEPT A  
CORRECTION OF THE ASSIGNEES ON THE FRONT PAGE OF THE ABOVE-  
IDENTIFIED PATENT BY WAY OF A CERTIFICATE OF CORRECTION**

Dear Sir:

Patent Owners/Assignees hereby petition under 37 C.F.R. § 1.183 to waive the  
rules and accept a correction of the Assignees on the front page of the above-identified patent by  
way of a Certificate of Correction. Patent Owners request that the Assignees identified in item  
[73] on the front page of the patent be changed to appear as:

11/19/2003 AMUNDAF1 00000020 500324 5807715  
01 FC:1811 100.00 DA  
11/19/2003 AMUNDAF1 00000020 5807715  
1 30 00 DA

[73] Assignees: **The Board of Trustees of The Leland Stanford Junior University, Stanford, Calif., and The Trustees of Columbia University in the City of New York, New York, N.Y.**

On January 16, 2003, the Patent Owners filed a Petition Under 37 C.F.R. § 1.182 For Issuance of a Corrected Patent. A copy of that Petition (without exhibits) is attached hereto as Exhibit 1. On July 8, 2003, the Patent Office issued a Decision on Petition dismissing the Patent Owners' Petition. A copy of the Decision is attached hereto as Exhibit 2. Although the Decision denied the relief that was sought by Patent Owners, the Decision stated that:

The appropriate avenue to obtain relief is to file:

(1) a petition under 37 C.F.R. § 1.183 to waive the rules and accept the correction of the assignee on the front page of the above-identified patent by way of a certificate of correction -- the petition must include a completed certificate of correction form, the \$130 petition fee, and the \$100 certificate of correction fee and

(2) a reconsideration petition under 37 C.F.R. § 1.182 to reprint the assignee's name, as well as the correct title, etc. on the front page of the Letters Patent. The desired changes must be reflected in the request for the certificate of correction. As stated above, petitioner must return the original Letters Patent. Please note that only the front page of the Letters Patent is reprinted. All other copies are considered corrected by the normal certificate of correction process.

In accordance with this statement in the Decision, Patent Owners file this Petition to meet the requirements of part (1) of the statement. A separate Petition under 37 C.F.R. § 1.182 is being filed herewith to meet the requirements of part (2) of this statement.

In accordance with the requirements for this type of petition, as set forth in MPEP § 1481:

(A) the Director is hereby authorized to charge the petition fee required by 37 C.F.R. § 1.17(h) (i.e., \$130) with this Petition to Deposit Account No. 50-0324;

(B) Patent Owners hereby request that 37 C.F.R. § 3.81(a) be waived to permit the correct names of the Assignees to be provided after issuance of the patent;

(C) Patent Owners and the undersigned hereby state that the failure to include the correct Assignee names on the PTOL-85B was inadvertent; and

(D) copies of the Notice of Recordation of the Assignment Documents showing the Assignees' names are attached hereto as Exhibit 3.

As required by part (1) of the above-referenced statement in the Decision on Petition:

(i) a completed Certificate of Correction form PTO-1050 is enclosed herewith; and

(ii) the Director is hereby authorized to charge the fee required by 37 C.F.R. § 1.20(a) (i.e., \$100) with the Certificate of Correction to Deposit Account No. 50-0324.

The Director is hereby authorized to charge any other fees that may be due in connection with this paper or otherwise due in connection with the above-identified Patent, and to deposit any overpayment of fees in connection with the above-identified Patent, to Deposit Account No. 50-0324. A duplicate copy of this Petition (without exhibits) is enclosed herewith.

Respectfully submitted,

By: 

Matthew T. Byrne  
Registration No. 40,934  
Attorney for Assignees

Shearman & Sterling LLC  
599 Lexington Avenue  
New York, NY 10022  
(212) 848-4000

03265454.012704

**FILE COPY**PATENTS  
01783/102**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Inventors:** Sherie L. Morrison  
Leonard A. Herzenberg  
Vernon T. Oi

**Assignees:** The Trustees of Columbia University in the City of New York  
The Board of Trustees of the Leland Stanford Junior University

**Patent No.:** 5,807,715

**Issued:** September 15, 1998

**Application No.:** 08/266,154

**Filed:** June 27, 1994

**For:** METHODS AND TRANSFORMED MAMMALIAN LYMPHOCYTIC  
CELLS FOR PRODUCING FUNCTIONAL ANTIGEN-BINDING  
PROTEIN INCLUDING CHIMERIC IMMUNOGLOBULIN AND  
FRAGMENTS

Hon. Commissioner for Patents  
Washington, D.C. 20231

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**PETITION UNDER 37 C.F.R. 1.182 FOR ISSUANCE  
OF A CORRECTED PATENT**

OFFICE OF PETITIONS

The Trustees of Columbia University in the City of New York ("Columbia University") and The Board of Trustees of the Leland Stanford Junior University ("Stanford University"), collectively the "Patent Owners," hereby petition under 37 C.F.R. § 1.182, and in accordance with 37 C.F.R. § 1.322(b), for the issuance of a corrected original ribbon grant of the above-referenced patent and a corrected electronic copy of the patent. A copy of the patent as originally issued is attached hereto at Tab 1.

**CONFIDENTIAL**

UNIV005567

On June 25, 1999, the Patent Owners submitted a Request Under 37 C.F.R. § 1.322 and § 1.323 For Issuance of Corrected Copy of Patent ("Correction Request") to the Certificate of Correction Branch, copy attached hereto at Tab 2. A review of the Correction Request demonstrates that there were numerous printing errors in the patent as issued. Three of the errors, namely two errors in the title of the patent and an error in failing to list one of the Patent Owners as an assignee of the patent, were believed to be of such import that the Patent Owners requested the issuance of a corrected original ribbon grant of the patent. Indeed, recent discussions with employees of the United States Patent and Trademark Office ("PTO") confirmed the Patent Owners' belief that where, as here, errors in the critical title and assignee fields are PTO errors, these errors warrant the issuance of a new ribbon grant. While a Certificate of Correction for the patent has been issued pursuant to the Correction Request, the Patent Owners believe that the circumstances set forth below warrant the issuance of a corrected original ribbon grant of the patent.

The Correction Request filed by the Patent Owners remained pending with the PTO for over three years before a Certificate of Correction issued on July 9, 2002, copy attached at Tab 3. However, the July 9, 2002 Certificate of Correction also failed to correct the assignee omission even though that error was included in the Correction Request. A subsequent Certificate of Correction listing both the Patent Owners as assignees was issued by the PTO on August 6, 2002, copy attached at Tab 4.

The patent has been the subject of licensing and the Patent Owner administering the licensing is the owner whose name was omitted from the patent, namely Columbia University. The omission of Columbia University from the face of the patent causes confusion among potential licensees, and indeed, potential licensees will not know that Columbia

University is an owner of the patent unless the second Certificate of Correction is accessed. Moreover, the patent is currently involved in litigation and the Patent Owners desire to use a corrected patent in litigation rather than the erroneous patent and two separate Certificates of Correction.

In light of (i) the critical nature of the title and assignee fields in which errors were made by the PTO, (ii) the additional PTO error in the original Certificate of Correction which resulted in the issuance of a second separate Certificate of Correction, and (iii) the inconvenience caused to the Patent Owners in their licensing efforts and in litigation because of the title and assignee errors, the Patent Owners respectfully request the issuance of a corrected original ribbon grant of the patent and a corrected electronic copy of the patent.

Moreover, in the event this request is granted, the Patent Owners respectfully request that the assignee field of the new copy of the patent recite the full name of assignee Columbia University, i.e., "The Trustees of Columbia University" should be replaced with "The Trustees of Columbia University in the City of New York." As may be seen from the assignments attached at Tab 5, each inventor assigned his or her entire right, title and interest in the invention claimed by the patent to either Stanford University or Columbia University. As may be seen from the Notices of Recordation, attached hereto at Tab 6, these assignments were properly recorded with the PTO. However, as can be seen from the Issue Fee Transmittal, copy attached hereto at Tab 7, the Issue Fee Transmittal incorrectly abbreviated the full name of "The Trustees of Columbia University in the City of New York," as appears in the Notices of Recordation, to "The Trustees of Columbia University." Therefore, the Patent Owners respectfully request that if this petition for the issuance of a corrected patent is granted, the

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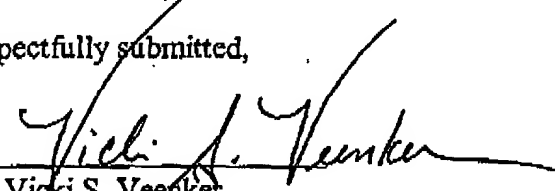
assignee field of the corrected patent be amended to recite the complete name of Columbia University, namely "The Trustees of Columbia University in the City of New York."

In the event this request is granted, the Patent Owners are prepared to surrender the original ribbon grant of the patent and pay any additional fees deemed appropriate, including a new issue fee or new publication fee.

The Director is hereby authorized to charge \$130.00 to cover the petition fee set forth in 37 C.F.R. § 1.17(h) and any additional fees that may be due in connection with this paper, including a new issue fee or new publication fee, to Deposit Account No. 50-0324. A duplicate copy of this Petition is enclosed herewith.

Respectfully submitted,

By:

  
Vicki S. Veenker  
Registration No. 34,269  
Attorney for Assignees

**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:

Commissioner for Patents  
Washington, D.C. 20231

on January 16, 2003  
(Date)

Typed or printed name of person signing this certificate:

Matthew T. Byrne

Signature:



SHEARMAN & STERLING  
1080 Marsh Road  
Menlo Park, CA 94025  
(650) 838-3600

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Paper No. 70

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JUL 08 2003

OFFICE OF PETITIONS

In re Patent No. 5,807,715  
Issued: September 15, 1998  
Application No. 08/266,154  
Filed: June 27, 1994  
Attorney Docket No. BD1CIPFWCIII

ON PETITION

This is a decision on the petition under 37 CFR 1.182 filed January 21, 2003 (certificate of mailing date January 16, 2003), for issuance of a corrected patent. The petition is being treated under 37 CFR 1.182 as a request to reprint the front page of the Letters Patent.

The petition under 37 CFR 1.182 to reprint the front page of the Letters Patent is **DISMISSED**.

Petitioner is advised that it is the practice of the U.S. Patent and Trademark Office (USPTO) to issue a certificate of correction to correct an error on the part of an application in those cases where the assignee or attorney data is incorrect or was inadvertently not provided at the time of payment of the issue fee or the inventor's name is misspelled or otherwise incorrect. Note 37 CFR 1.323 and MPEP 1482 (35 U.S.C. 255), which states:

Whenever a mistake of a clerical or typographical nature, or of minor character, which was not the fault of the Patent and Trademark Office, appears in a patent and a showing has been made that such mistake occurred in good faith, the Commissioner may, upon payment of the required fee, issue a certificate of correction, if the correction does not involve such changes in the patent as would constitute new matter or would require re-examination. Such patent, together with the certificate, shall have the same effect and operation in law on the trial of actions for causes thereafter arising as if the same had been originally issued in such correct form."

In addition, the USPTO will reprint the front page of the Letters Patent if the following conditions are met:

1. Submission of a petition under 37 CFR 1.182
2. Payment of a \$130 petition fee
3. Payment of a \$100 fee to place a certificate of correction in the USPTO archives
4. Return of the original Letters Patent

In this instance, all substantive errors in the patent have already been corrected by way of certificates of correction. Petitioner desires the full name of the assignee -- "The Trustees of Columbia University in the City of New York" -- to be listed on the first page of the patent. The full name of the assignee was not provided on the Issue Fee Transmittal.

In re Patent No. 5,807,715

Page 2

The appropriate avenue to obtain relief is to file:

(1) a petition under 37 CFR 1.183 to waive the rules and accept the correction of the assignee on the front page of the above-identified patent by way of a certificate of correction -- the petition must include a completed certificate of correction form, the \$130 petition fee, and the \$100 certificate of correction fee

and

(2) a reconsideration petition under 37 CFR 1.182 to reprint the assignee's name, as well as the correct title, etc. on the front page of the Letters Patent. The desired changes must be reflected in the request for the certificate of correction. As stated above, petitioner must return the original Letters Patent. Please note that only the front page of the Letters Patent is reprinted. All other copies are considered corrected by the normal certificate of correction process.

The file will be returned to Files Repository.

Further correspondence with respect to this matter should be addressed as follows:

**By mail:** Mail Stop PETITION  
Commissioner for Patents  
Post Office Box 1450  
Alexandria, VA 22313-1450

**By hand:** Crystal Plaza Four, Suite 3C23  
2201 South Clark Place  
Arlington, VA 22202

**By Fax:** (703) 308-6916  
ATTN: Office of Petitions

Telephone inquiries concerning this decision should be directed to the undersigned at (703) 308-6712.

*E. Shirene Willis*  
E. Shirene Willis  
Senior Petitions Attorney  
Office of Petitions

113256154-012704



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER  
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JUN 17 1980

LEYDIG, VOIT & MAYER  
PALO ALTO

TO: LEYDIG, VOIT & MAYER  
350 CAMBRIDGE AVENUE  
SUITE 200  
PALO ALTO, CA 94306

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NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF  
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NUMBER REFERENCED BELOW. A DIGEST OF THE DOCUMENT HAS ALSO BEEN MADE  
AND APPEARS IN THE OFFICE'S RECORDS AS SHOWN:

ASSIGNOR: 001 HERZENBERG, LEONARD A.  
ASSIGNOR: 002 OI, VERNON T.

DOC DATE: 09/09/87  
DOC DATE: 11/12/87

RECORDATION DATE: 11/16/87 NUMBER OF PAGES 002 REEL/FRAME 4830/0956

DIGEST: ASSIGNMENT OF ASSIGNORS INTEREST

ASSIGNEE: 501 BOARD OF TRUSTEES OF THE LELAND STANFORD JUNIOR UNIVERSIT  
Y, THE, STANFORD UNIVERSITY, STANFORD, CA. 94305, A CA. C  
ORP.

SERIAL NUMBER 7-090669 FILING DATE 08/28/87  
PATENT NUMBER ISSUE DATE 00/00/00

TITLE OF INVENTION: CHIMERIC RECEPTORS BY DNA SPLICING AND EXPRESSION

- INVENTOR: 001 MORRISON, SHERIE L.  
INVENTOR: 002 HERZENBERG, LEONARD A.  
INVENTOR: 003 OI, VERNON T.

CONFIDENTIAL

UNIV002486



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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ASSIGNOR: 001 MORRISON, SHERIE L.

DOC DATE: 10/17/87

RECORDATION DATE: 11/16/87 NUMBER OF PAGES 002 REEL/FRAME 4830/0958

DIGEST: ASSIGNMENT OF ASSIGNORS INTEREST

ASSIGNEE: 501 TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK,  
THE, BROADWAY AND WEST 116TH STREET, NEW YORK, NEW YORK,  
10027, A CORP. OF NEW YORK

SERIAL NUMBER 7-090669 FILING DATE 08/28/87  
PATENT NUMBER ISSUE DATE 00/00/00

TITLE OF INVENTION: CHIMERIC RECEPTORS BY DNA SPLICING AND EXPRESSION

INVENTOR: 001 MORRISON, SHERIE L.  
INVENTOR: 002 HERZENBERG, LEONARD A.  
INVENTOR: 003 OI, VERNON T.